

FIG 1

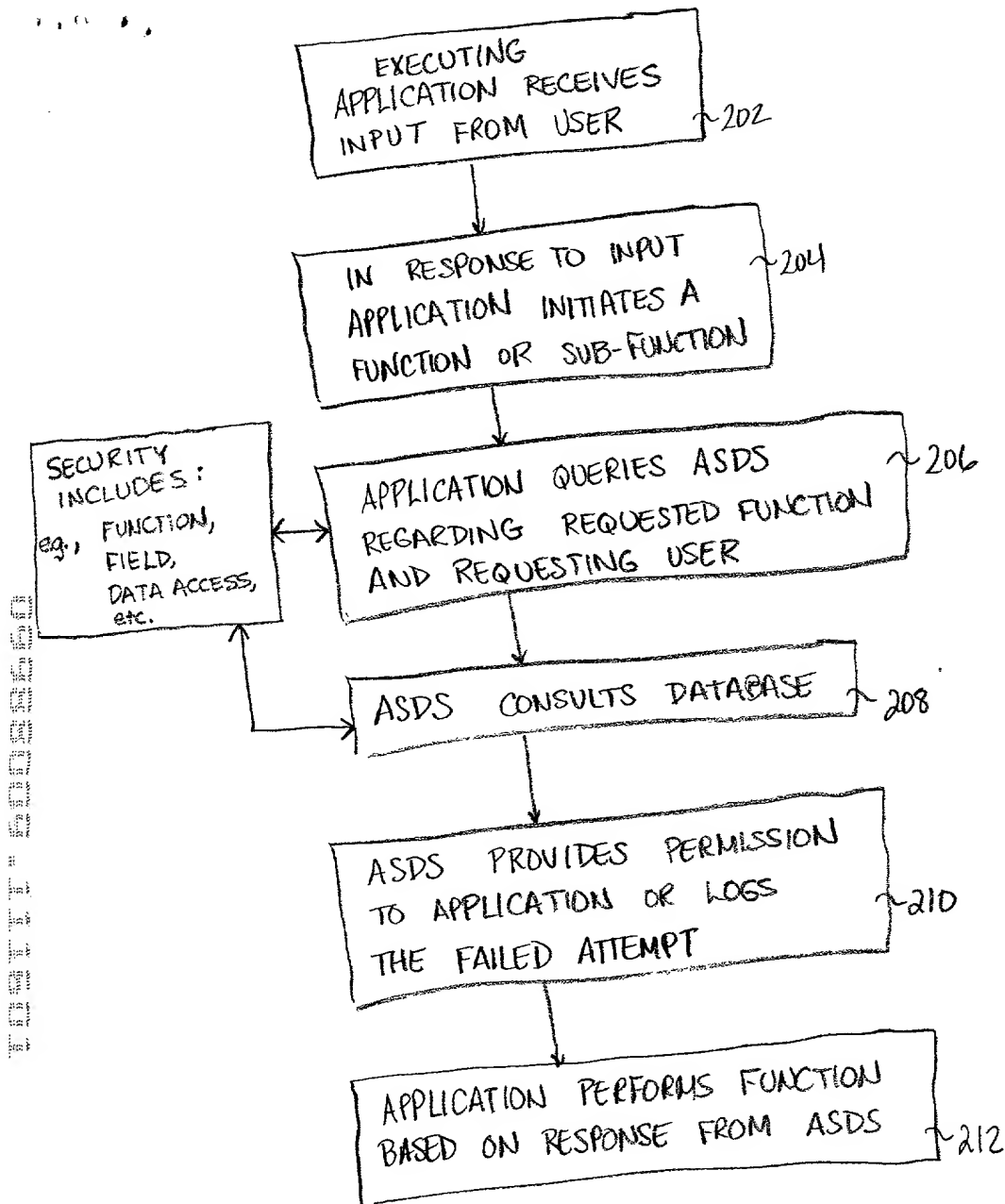


FIG. 2

Security Administration - Applications

Application: Advanced Trade/Order Mgmt System

Applications and Functions:

- Advanced Trade/Order Mgmt System
 - Admin Request
 - Confirm Cancel (Ccx)
 - Price Check (Pck)
 - Quote & Size (Qs)
 - Quote & Size Browse (Qsb)
 - Report Status (Rs)
 - Wire Miscellaneous (Wire)
 - Admin Response
 - Nothing Done (Nth)
 - Price Check Response (Pcr)
 - Quote & Size Response (Qsr)
 - Working Order (Wik)
 - You Are Out (Dut)
 - You Are Stopped/Guaranteed (Gur)
 - Equity Order Entry
 - Blank (Blk)
 - Complex Order Entry (Coe)
 - Equity Order Entry (Eeq)
 - Non Interactive Blank (Nib)

Application: Advanced Trade/Order Mgmt Syst
 Function: Admin Request
 Sub-Function:
 Sub-Sub-Function:

Access Settings: Extended Settings: Environments:

Authorization: Enabled Status: Active
 Add: Not Applicable Effective Date: 01/01/1999
 Update: Not Applicable Expiration Date: 12/31/9999
 Delete: Not Applicable
 Print: Not Applicable
 Copy: Not Applicable Admin Access: All Administrator Levels

Fields Save Reset Add Delete

FIG. 3

Security Administration - Applications by Correspondent

Correspondent: 001 - DLJ Investment Services Group

Applications and Functions:

- Custody
- Imaging
- On Demand
- Paradigm
 - Account
 - Activity
 - Detail
 - Commissions
 - Custom Money Line Creation
 - Custom Money Line Display
 - Holdings
 - Buy More
 - Detail
 - Non-Brokerage
 - Quote
 - Sell
 - Money Funds
 - Money Line
 - Performance
 - Portfolio

Application: Paradigm
 Function: Account
 Sub-Function: Holdings
 Sub-Sub-Function: Detail

Access Settings: Environments:

Authorization: Enabled Status: Active
 Add: Not Applicable Effective Date: 05/28/1999
 Update: Not Applicable Expiration Date: 12/31/9999
 Delete: Not Applicable
 Print: Not Applicable
 Copy: Not Applicable Admin Access: All Administrator Levels

Fields Enable Group Save Reset

FIG. 4

Security Administration - Applications by Role

Correspondent: 028 - Royal Alliance Associates Inc. Role: Branch Manager

Applications and Functions

- On Demand
 - On Demand Reports
 - ☒ Acml9000 Acam Bank Activity
 - ☒ Csl460M0 Statements
 - ☒ Csl461M0 Statements
 - ☒ Csl462M0 Statements
 - ☒ Csl463M0 Statements
 - ☒ Csl464M0 Statements
 - ☒ Csl465M0 Statements
 - ☒ Csl466M0 Statements
 - ☒ Csl467M0 Statements
 - ☒ Csl468M0 Statements
 - ☒ Csl469M0 Statements
 - ☒ Csl470M0 Statements
 - ☒ Csl471M0 Statements
 - ☒ Csl472M0 Statements
 - ☒ Csl473M0 Statements
 - ☒ Csl474M0 Statements
 - ☒ Csl475M0 Statements
 - ☒ Csl476M0 Statements

Application: OnDemand
 Function: OnDemandReports
 Sub-Function: Csl475M0Statements
 Sub-Sub-Function:

Access Settings

Authorization: Enabled Status: Active
 Add: Not Applicable Effective Date: 04/20/2000
 Update: Not Applicable Expiration Date: 12/31/9999
 Delete: Not Applicable
 Print: Not Applicable
 Copy: Not Applicable Admin Access: All Administrator Levels

Enable Group Save Reset

FIG. 5

Secured Fields

Application: Paradigm
 Function: Equity Option Order Entry Retail Equity

	Field Name	Field Code	Type of Field	Authorization	Maintenance Access
1	Alternate Terminal	ALT-TERMINAL	Updatable	Disabled	Not Applicable
2	Exchange Override	EXCHANGE-OVERRIDE	Updatable	Enabled	Not Applicable
3	Mark Up/Down	MARK-UP-DOWN	Updatable	Enabled	Not Applicable
4	Price Discretion	PRICE-DISCRETION	Updatable	Invisible	Not Applicable
5	Sequence Number	SEQ-NUMBER	Updatable	Enabled	Not Applicable

Add Delete Save Reset

FIG. 6

Security Administration - Correspondent Roles

Correspondent: 4ED - Leberthal & Co Inc

Role:

Role Name	Users	Functions
Account Executive	0	50
Accounting Associate	0	46
Associate	114	113
Branch Manager	0	13
Compliance Associate	0	48
Operations Manager	1	48
Security Administrator	4	32
Trading Desk Associate	0	15

Users:

UserID	First Name	Last Name	Prod	UAT	Dev
P4EDAACE	Alexis	Acevedo	✓	✓	✓
P4EDABUS	Ann	Bushnell	✓	✓	✓
P4EDACAS	Amy	Castar	✓	✓	✓
P4EDALEB	A.	Leberthal	✓	✓	✓
P4EDALEV	User Not On F		✓	✓	✓
P4EDAMON	Andrew	Montalbano	✓	✓	✓
P4EDANEW	A	Newburger	✓	✓	✓
P4EDATAY	Ayoluwa	Taylor	✓	✓	✓
P4EDAWEE	A.	Weeden	✓	✓	✓
P4EDBMUR	User Not On F		✓	✓	✓
P4EDBPEP	B.	Pepe	✓	✓	✓
P4EDCALP	Courtney	Alperin	✓	✓	✓
P4EDCHFJ	Christopher	Fu	✓	✓	✓
P4EDCOFF	Company	Office Browse	✓	✓	✓
P4EDDBRY	D	Brydie	✓	✓	✓
P4EDDBUC	D	Buckley	✓	✓	✓
P4EDDCOR	D	Corrigan	✓	✓	✓
P4EDDGAL	D.	Galle	✓	✓	✓

Buttons: Add Role, Edit Role, Delete Role, Role Profile, Refresh, Edit User Profile

FIG 7

Security Administration - Roles

Role Category: All

Role Name:

Role Name	Correspondents
Account Executive	430
Account Executive Assistant	3
Account Manager - Conversions	1
Accounting Associate	429
Associate	434
Atoms Tester	1
Back Office Associate	4
Branch Manager	430
Broker With Order Entry	9
Compliance Associate	430
Custody Associate	3
Custody Supervisor	1
Custody Tester	1
Customer Training - Senior Trainer	1
Division Security Administrator	1
Financial Analyst	1
Operations Manager	430
Order Approver - All Products	10
Order Approver - Equities & Options	5
Order Approver - Mutual Funds	5
Paradigm Correspondent Rollout	2
Paradigm Filter Tester	1

Correspondents:

Correspondent #	Correspondent Name
PERS	Pershing
001	DLJ Investment Services Group
3R2	Uvest Investment Services Inc
4NY	Sands Brothers & Co Ltd
4RB	Ryan Beck & Company
40V	Vanguard Brokerage Services
5WL	Walnut Street Securities Inc
6H6	Wiley Bros A Division Of Wiley
65A	Wingspan Investment Services Inc
7CE	Laidlaw Global Securities Inc

Buttons: Add Role, Delete Role, Edit Role

FIG 8

Security Administration - User Data Access

001 - DLJ Investment Services Group User: P201AMAR - A. Marwede Refresh User

	Data Profile	Correspondent	Office	Reg. Rep.	Account	Eff. Date	Exp. Date	Status
1		001	2A1	F74	All	12/11/98	12/31/9999	Active
2		001	2A1	F93	All	12/11/98	12/31/9999	Active
3		001	2A1	K04	All	12/11/98	12/31/9999	Active
4		001	2C1	F74	All	12/11/98	12/31/9999	Active
5		001	2C1	F93	All	12/11/98	12/31/9999	Active
6		001	2C1	K04	All	12/11/98	12/31/9999	Active
7		001	2D1	F74	All	12/11/98	12/31/9999	Active
8		001	2D1	F93	All	12/11/98	12/31/9999	Active
9		001	2D1	K04	All	12/11/98	12/31/9999	Active
10		001	2E1	F74	All	12/11/98	12/31/9999	Active
11		001	2E1	F93	All	12/11/98	12/31/9999	Active
12		001	2E1	K04	All	12/11/98	12/31/9999	Active
13		001	2FE	F74	All	12/11/98	12/31/9999	Active
14		001	2FE	F93	All	12/11/98	12/31/9999	Active
15		001	2FE	K04	All	12/11/98	12/31/9999	Active
16		001	2F1	F74	All	12/11/98	12/31/9999	Active
17		001	2F1	F93	All	12/11/98	12/31/9999	Active

Add Delete Update

FIG. 9

Security Administration - User Setup

User Settings

Correspondent: PERS - Pershing User: TSQJPER

First Name: J. Last Name: De Perna

Middle Init: PIN: 1101 User Type: Creation Date: 04/12/1999

Status: Active Effective Date: 04/20/2000 Expiration Date: 12/31/9999

Set Password (8 Chars): Confirm Password:

Department: Comments:

Add Drop Clear Data Access

List of Users

Userid	First Name	Last Name	Status
TSQJPAL	James	Palser	Active
TSQJPA1	James	Palser	Active
TSQJPER	J.	De Perna	Active
TSQJPFA	Joseph	Plaff	Active
TSQJPRU	John	H Prudden	Active

FIG. 10

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Security Administration - User Setup

User Settings

Correspondent: **PERS - Pershing**

First Name: **T**

Middle Initial:

Status: **Active**

Effective Date: **04/20/2000**

Set Password (8 chars):

Department: **PERS - Pershing**

Comments:

User

Username: **TSOJPER**

Last Name: **De Perna**

User Type: **Role**

Creation Date: **04/12/1999**

Expiration Date: **12/31/9999**

Confirm Password:

List of Users

Role	Prod	UAT	Dev	Status	Eff. Date	Exp. Date
Associate	✓	✓	✓	Active	3/23/99	12/31/99
Paradigm New Accounts Tester	✓	✓	✓	Active	12/16/99	12/31/99
Paradigm Order Management Tester	✓	✓	✓	Active	1/4/00	12/31/99
Technical Support Associate	✓	✓	✓	Active	2/9/00	12/31/99

Add Role Add Role Delete Role Edit Profile

FIG. 11

1202

Security Auditing - Security Auditing by Correspondent

Correspondent: **4MV - American Century Brokerage Inc**

User List by Correspondent

Optionally, you can provide one or more of the following filters to help narrow the list.

Username:

First Name: **Bob**

Last Name:

User Type:

Department:

Status

☒ Display All

☐ Active users only

☐ Suspended users only

Effective/Expiration Dates

☒ Display All

☐ Show users whose IDs are currently effective

Build List

1200
5

FIG. 12A

FIG. 12B

Security Auditing - Users by Correspondent

Correspondent: 4MV American Century Brokerage Inc.

	Userid	First Name	Middle Initial	Last Name	Effective Date	Expiration Date	Status	Userid Type	Department
1	P4MVBLAY	Bob		Layburn	6/24/99	12/31/9999	Active	User	PERD4MV
2	P4MVB0EF	Bob		Definger	10/20/99	12/31/9999	Active	User	PERD4MV
3	P4MVB0E2	Bob		Definger	10/20/99	12/31/9999	Active	User	PERD4MV

Print

1250

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Security Change History

Provide one or more of the following filters to help narrow the list:

Userid:

Administrator ID:

Correspondent:

From: 04/10/2000 To: 04/20/2000

Time: 00:00:00 To: 23:59:59

Additional Filters: Reset Filters:

	Date	Time	Change Category	Change Type	Userid	User Name	Correspondent	Administrator
1	04/20/2000	18:23:42	User Roles	Update	TSQJPER	J. De Perna	PERS	TSOTSSS
2	04/20/2000	18:23:21	User Roles	Update	TSQJPER	J. De Perna	PERS	TSOTSSS
3	04/20/2000	18:16:18	User Roles	Update	TSQJPER	J. De Perna	PERS	TSOTSSS
4	04/18/2000	10:41:44	User Roles	Delete	PARATS60	Top Secret T. Test	PERS	PARASEC
5	04/18/2000	10:41:37	User Roles	Update	PARATS60	Top Secret T. Test	PERS	PARASEC
6	04/18/2000	10:41:27	User Roles	Add	PARATS60	Top Secret T. Test	PERS	PARASEC
7	04/18/2000	10:33:09	User Roles	Delete	PARASEC4	Paradigm Security Admin	PERS	PARASEC
8	04/18/2000	10:31:44	User Roles	Add	PARASEC4	Paradigm Security Admin	PERS	PARASEC
9	04/13/2000	15:24:34	Applications By Role	Update			PERS	TSOTSSS
10	04/13/2000	15:19:10	Applications By Role	Add			PERS	TSOTSSS
11	04/13/2000	15:18:58	Applications By Role	Add			PERS	TSOTSSS
12	04/13/2000	15:18:38	Applications By Correspondent	Add			PERS	TSOTSSS

Details Fields

1300

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FIG. 13